

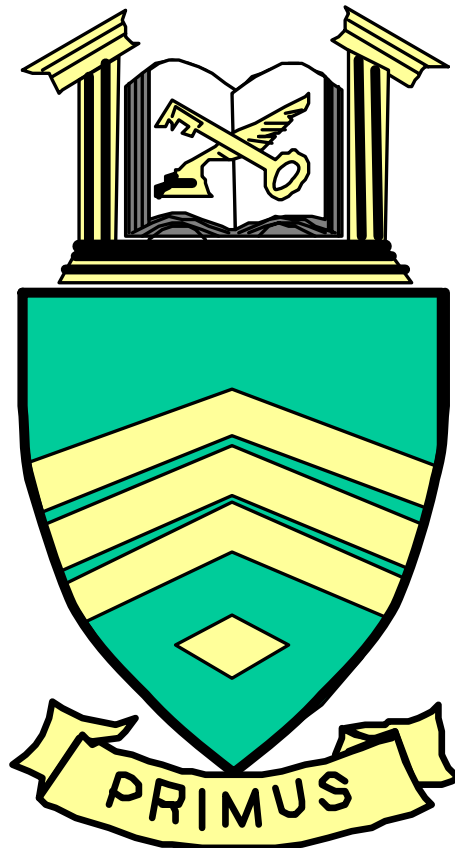
U.S. ARMY SERGEANTS MAJOR ACADEMY (FSC-TATS)

U656

OCT 04

UNIT RETENTION PROGRAM

## STUDENT HANDOUT



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## Appendix D

### HANDOUTS FOR LESSON 1: U656 version 1

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This appendix contains the items listed in this table--

<b>Title/Synopsis</b>	<b>Pages</b>
SH-1, U656 Advance Sheet	SH-1-1 and SH-1-2
SH-2, Extracts of AR 140-111, NGR 600-200, NGR 601-1, and USARC Regulation 140-6	SH-2-1 thru SH-2-23
SH-3, Student Notes	SH-3-1 thru SH-3-6

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## Student Handout 1

### Advance Sheet for U656

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**Lesson Hours**

This lesson consists of two hours small group instruction.

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**Overview**

The unit retention program plays a key role in the Army's training and readiness. To be truly effective, the unit retention program requires the enthusiastic involvement of leaders at all levels. First sergeant involvement enhances the unit retention program and stimulates other leaders in the unit to work toward the unit's retention goals. This lesson consists of a before class reading assignment and a two hour classroom discussion. It will provide you with the tools necessary to assist your commander in maintaining an effective unit retention program.

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**Learning Objectives**

Terminal Learning Objective (TLO).

<b>Action:</b>	Analyze the unit retention program.
<b>Conditions:</b>	As a first sergeant, in a classroom environment, given AR 601-280, AR 140-111, NGR 601-1, USARC Regulation 140-6, and student handouts.
<b>Standard:</b>	Analyzed the unit retention program IAW AR 601-280, AR 140-111, NGR 601-1, and USARC Regulation 140-6.

Enabling Learning Objectives (ELOs).

**ELO A** Describe the goals of the Army, Army National Guard, and the Army Reserve retention programs.

**ELO B** Determine retention counseling requirements.

**ELO C** Determine standards for reenlistment.

**ELO D** Determine guidelines for using Bars to Reenlistment.

**ELO E** Explain procedures for initiating a Bar to Reenlistment.

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**Assignment**

Before class:

- Read AR 601-280, chapter's 1, 2, 8, and App C, Table C-1.
  - Read Student Handout 2, extracts of AR 140-111, NGR 600-200, NGR 601-1, and USARC Regulation
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**Additional Subject Area Resources**

None

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**Bring to Class**

- All lesson reference materials.
  - All lesson student handouts.
  - Pencil and writing paper.
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**Note to Students**

It is your responsibility to do the homework prior to class. We expect you to come to class prepared and participate in the small group discussion by providing information you learned from your individual study, as well as your personal and observed experiences. Failure to study and read the assignments above will result in your inability to fully participate with the rest of the group. Not having your input affects the group's ability to fully discuss the information.

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## Student Handout 2

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This student handout contains extracts from the following publications.

PUBLICATIONS	TITLE	DATE	PAGE NUMBERS
AR 140-111	US Army Reserve Reenlistment Program	Dec 03	SH-2-2 thru SH-2-13
NGR 600-200	Enlisted Personnel Management	Mar 97	SH-2-14 thru SH-2-18
NGR 601-1	Army National Guard Strength Maintenance Program	Dec 03	SH-2-19 thru SH-2-22
USARC Regulation 140-6	US Army Reserve Command Retention Program	Aug 03	SH-2-23 thru SH-2-24

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### **1-7. Objectives of the USAR Reenlistment Program**

This Program is an integral part of overall USAR strength improvement programs. Program objectives are to —

- a. Reenlist, on a long-term basis, highly qualified enlisted personnel. Particular emphasis is placed on retaining qualified soldiers who are "first-termers".
- b. Obtain maximum command involvement at each echelon of command. Reenlistment competitions down to and including the company and battery level are encouraged.

### **1-12. Responsibilities**

Maintenance of strength is a command responsibility. The success of USAR strength improvement programs depends upon effective leadership, vigorous command involvement, and aggressive reenlistment programs at all levels. It is a direct indicator of the quality of leadership exhibited by officers and noncommissioned officers alike.

- a. The Deputy Chief of Staff, G-1 ( [DCS, G-1](#) ), HQDA, has general staff responsibility for personnel procurement, retention, and separation.
- b. The Chief, Army Reserve (CAR), operating within established Army policies, under the general personnel policy guidance of DCS, G-1, monitors and provides policy direction for the personnel management systems of the USAR.
- c. Area commanders are responsible for the management of the USAR Reenlistment Program within TPUs of the Selected Reserve.
- d. The Commanding General, U.S. Army Reserve Personnel Center (CG, ARPERCEN) is responsible for the management of the USAR Reenlistment Program for —

- (1) Assigned IRR soldiers.
- (2) Assigned Standby Reserve soldiers.
- (3) Personnel managed under the U.S. Army Reserve-Active Guard/Reserve Program (USAR-AGR).
- (4) IMA personnel.
- (5) **(Rescinded.)**

- e. **(Rescinded.)**

### **1-14. Subordinate commanders**

Subordinate commanders will be actively involved in their respective reenlistment programs and will ensure that —

- a. Every soldier who is serving honorably and faithfully and meets the requirements for reenlistment is counseled and interviewed, if possible. This includes those individuals with waivable disqualification's. Soldiers should be made aware that retention in the USAR is not a right, but a privilege extended only to those soldiers who have demonstrated satisfactory performance.
- b. Every qualified soldier who desires continuous service is given the opportunity of immediately reenlisting.
- c. Soldiers who are untrainable or unsuitable for military service are barred from reenlistment.

d. Personnel assigned to reenlistment duties are —

- (1) Properly used to further the reenlistment program.
- (2) Provided with transportation, office space, and clerical assistance.

e. Every officer and noncommissioned officer (NCO) in the command is informed of current reenlistment programs and changes to regulations.

f. A reenlistment officer and a reenlistment NCO are appointed and the names added to the proper list or record as an additional duty. This only applies in organizations where a reenlistment NCO is not authorized on a primary-duty basis by the following:

- (1) Table of distribution and allowances (TDA)
- (2) Table of organization and equipment (TOE).

#### **1-22. Reenlistment orientation**

Reenlistment orientation must begin on the day the individual reports to the unit. This is true even though the maximum reenlistment effort will be made during the latter part of an individual's term of service. Reenlistment counseling cannot be restricted to the last few months of a soldier's term of service, especially first-term personnel. The scheduled counseling procedure in this section is the minimum effort required; counseling should not be limited to this schedule. Unit commanders will direct major emphasis on encouraging qualified individuals to reenlist for their present assignments. This is in the best interest of stability, economy, reduction of travel, and continuity of operations.

#### **1-25. Reenlistment interviews**

Full advantage should be taken of the opportunity afforded by interviews to counsel individuals and help them make definite plans. These discussions should be related to the grade and length of service of the individual being interviewed. They will be designed primarily to favorably influence the individual's reenlistment intent.

- a. Reenlistment interviews provide an opportunity to extend encouragement, eliminate old grievances, and develop self-understanding and self-assurance.
- b. Preparation is essential for a satisfactory interview. Such preparation will include collection of background data concerning the soldier.
- c. Individuals should not be required to report for interviews. The interview should be conveniently arranged and the individuals interviewed separately. Interviews should never be conducted in groups.
- d. Face-to-face interviews with IRR, Standby Reserve, or IMA soldiers who are not on active duty are not practical. ARPERCEN should use alternate channels of communication (i.e., correspondence or telephone) to provide counseling.

#### **1-26. Reenlistment interview procedures**

Before soliciting personal information during the course of interviews, the soldier must be made aware of "Data Required by the Privacy Act of 1974." (See [fig 1-1](#).) Upon request, a copy of the Privacy Act Statement for reenlistment interviews will be provided the soldier. The following procedures apply to personnel assigned to units of the Selected Reserve. They also apply to soldiers serving on active duty in USAR AGR status.

a. The commanding officer will determine a soldier's eligibility for reenlistment under the provisions of this regulation. The results of interviews and reason(s) why a soldier is not eligible to reenlist will be recorded on —

(1) [DA Form 4644-R](#) (Army Reserve Reenlistment Data), for all personnel assigned to TPUs of the Selected Reserve. (See chap 6, [sec II](#), for instructions.)

(2) DA Form 4644-R, or [DA Form 1315](#) (Reenlistment Data), for personnel participating in the USAR-AGR. The form selected will be at the option of the commander.

b. If a soldier is not eligible for immediate reenlistment, the unit commander will —

(1) Interview the individual upon assignment and inform the soldier that he or she is not eligible to reenlist.

(2) Advise the soldier of what he or she must do to become eligible.

(3) Determine by observation and job performance information whether a request for waiver is appropriate. If it is, and it is desired by the soldier, a request for waiver will be initiated promptly. The request must be sent within the time specified in [paragraph 4-3](#).

c. If the individual is eligible for reenlistment but not recommended, or ineligible to reenlist, the unit commander will promptly initiate a bar to reenlistment. This information will be shown on the DA Form 4644-R or DA Form 1315.

d. If reenlistment is recommended by the unit commander and the enlisted person meets the requirements, the following procedures apply:

(1) Individuals ineligible to reenlist, but who have a waivable disqualification and are recommended, will receive all interviews.

(2) The first interview should be held by the unit commander, as soon as practical after initial assignment to the unit.

(a) During this interview, individuals should be told what their good points are and where they can improve; they should also be told what their chances for promotion are, whether there is a need for reclassification action, and any other information of concern to them.

(b) If the soldier's conduct or efficiency, or both, warrant bar action, inform the soldier. Initiate the necessary bar to reenlistment procedures.

(c) Advise the individual of the eligibility requirements for reenlistment. Counsel the soldier on how to meet these requirements.

(d) Complete the reenlistment status portion on the DA Form 4644-R or DA Form 1315, as appropriate, after the job performance interview. (This is required only for a SSG or below.)

(3) Soldiers assigned to a TPU will receive an annual retention interview in conjunction with the birth month record review and orientation requirement per AR 135-91, [paragraph 4-4](#); [AR 135-133](#), paragraph 3-11; and [AR 640-2-1](#), paragraph 7-3.

(4) Soldiers serving on their initial tour of AGR duty, on completion of 24 months AGR service, will be interviewed by reenlistment officials. The reenlistment officials will advise each AGR soldier of the policy and procedures governing retention on AGR status beyond the initial 3 years. Six to 12 months before ETS, the commanding officer will conduct an interview. This interview will be for soldiers serving on their initial AGR tour and all SSG and below.

(a) During this interview, individual problems should be resolved as far as practical.

(b) If the soldier has not decided to reenlist or extend for continuing service on AGR status, the commander will discuss the soldier's abilities, shortcomings, and opportunities. The commander should also apprise the soldier of the opportunity for continuing USAR service in another status other than AGR, if eligible.

(c) **(Rescinded.)**

(d) **(Rescinded.)**

(e) Information concerning this interview by the commander will be entered on the [DA Form 4644-R](#) or [DA Form 1315](#), as appropriate.

(5) After the commander's interview, the reenlistment NCO will contact the individual and conduct another interview. Current reenlistment incentives, opportunities, and benefits will be emphasized.

(a) Every effort will be made to obtain a positive reenlistment decision.

(b) Information resulting from the interview will be recorded on the reenlistment data card.

(6) Commanders will initiate aggressive programs designed to influence recommended first-term enlisted personnel who do not intend to reenlist. Before leaving the unit, these individuals will be informed of the reenlistment opportunities available at separation. In addition, they will be counseled on the grade authorizations for reenlistment after a break in service has occurred. An appropriate entry that shows this interview was conducted will be entered on the DA Form 4644-R or DA Form 1315, as appropriate.

(7) SFC and above will be interviewed by the reenlistment NCO 6 months before their ETS. The purpose of this interview is to determine their reenlistment intentions.

#### **DATA REQUIRED BY THE PRIVACY ACT OF 1974**

##### **(Reenlistment Interviews and Counseling)**

**AUTHORITY:** 10 USC 3012

**PRINCIPAL PURPOSE:** To determine eligibility for reenlistment.

**ROUTINE USES:** Personal information will be used to document reenlistment status and will be maintained in unit to which you are assigned. Upon reenlistment or upon discharge, the record will be destroyed.

**DISCLOSURE OF PERSONAL INFORMATION IS VOLUNTARY. THERE WILL BE NO ADVERSE EFFECT ON INDIVIDUALS NOT PROVIDING THE SOLICITED INFORMATION.**

**Figure 1-1. Data requested by the Privacy Act of 1974**

#### **1-27. General**

a. This section prescribes the procedures for denying reenlistment to persons whose reentry into, or continued service with, the USAR is deemed not in the best interest of the service. The procedures apply to the field commander's bar to reenlistment. They apply to personnel —

(1) Assigned to a TPU or an IMA of the Selected Reserve.

(2) Assigned to the IRR.

(3) Assigned to the Standby Reserve.

(4) Serving on active duty in an AGR status.

*b.* Soldiers, if otherwise qualified, may not be arbitrarily denied reenlistment. If a commander wishes to disapprove a request for reenlistment or extension by a soldier who is fully qualified for reenlistment without a waiver, he or she must concurrently submit a bar to reenlistment. Request for waiver of a reenlistment disqualification may be disapproved under [paragraph 4-3](#).

*c.* **(Rescinded.)**

*d.* **(Rescinded.)**

#### **1-28. Policy on bars to reenlistment**

*a.* HQDA policy extends the privilege of reenlisting only to personnel of —

(1) High moral character.

(2) Professional competence.

(3) Demonstrated adaptability to the requirements of the professional soldier's moral code.

*b.* Persons who do not maintain such standards, but whose separation is not warranted, will be barred from further service.

*c.* *The bar to reenlistment is not a punitive action.* Imposition of a bar to reenlistment does not preclude administrative separation at a later date. Normally, however, the bar to reenlistment should be initiated prior to a separation or judicial/nonjudicial action because it is intended to put the soldier on notice that he or she —

(1) Is not a candidate for reenlistment.

(2) May be a candidate for separation if the circumstances that led to the bar to reenlistment are not overcome.

*d.* *Separation from reenlistment.* Soldiers on indefinite reenlistment ( [para 2-4](#) ) will not be barred from reenlistment but must be separated instead.

#### **1-29. Guidelines in the use of a bar to reenlistment**

*a.* If a bar to reenlistment is justified, it will be initiated whether or not the soldier intends to reenlist.

*b.* A bar to reenlistment should not be based on generalities, approximate dates, or vague places and times. It should be specific and substantiated by official remarks made at the time of the occurrence. Counseling should be provided on each occurrence and all instances made a matter of official record. It is essential the individual be counseled when acts considered unworthy of a member of the USAR are performed. Counseling IMA personnel, members of the IRR, or Standby Reserve (not on active duty or active duty for training) may be done telephonically or through correspondence.

*c.* A bar will not be used in lieu of —

(1) Separation action under proper regulations.

(2) Trial by courts-martial.

(3) Non-judicial punishment.

(4) Other appropriate administrative actions.

d. When it seems appropriate, a bar should be initiated even if the commander is aware that —

- (1) A previous disciplinary or administrative action did not result in separation.
- (2) An honorable or general discharge will be issued for the current period of service.
- (3) A soldier served honorably for a number of years.
- (4) While performing in a substandard manner, a soldier has been permitted to remain on duty for a number of years.

e. Normally, a bar to reenlistment should not be initiated against an individual —

- (1) Who has been assigned to a command for less than 90 days.
- (2) During the last 90 days (30 days for an AGR soldier) before the soldier is discharged, transferred from the command, or released from active duty (REFRAD). If initiated during this period, the commander must provide a complete explanation as to why the action was not taken earlier. This explanation will be entered on DA Form 8028-R (U.S. Army Reserve Bar to Reenlistment Certificate).

**f. (Rescinded.)**

#### **1-29.1. Retention for retirement eligibility**

*a. Retention in an active status.* A soldier assigned to the Selected or Ready Reserve or the Standby Reserve (Active Status List) is serving in an active status. The retention of an enlisted soldier selected for involuntary separation (other than for physical disability or for cause) or denied reenlistment upon expiration of term of enlistment (other than for physical disability or for cause) and in an active status after completion of 18 or more years but less than 20 years of qualifying service for retired pay is required by law ( 10 USC 1176(b) ) unless the soldier consents to removal. A bar may be initiated against a soldier serving in an active status who has completed 18 or more years but less than 20 qualifying years of service for retired pay. Approval authorities for such bars are specified in paragraphs 1-31.1e(2)(c) and (3).

(1) The voluntary or involuntary reassignment of a soldier between the Selected and Ready Reserve and the Standby Reserve (Active Status List) will not affect the soldier's retention for retirement eligibility, since the soldier continues to serve in an active status. In addition, retention in an active status does not prevent release from active duty in an AGR status, or reassignment from a troop program unit, provided the soldier is retained in an active status.

(2) A bar to reenlistment intended to deny a soldier with more than 18 years but less than 20 years of qualifying service for retired pay (para 1-31.1e(3)) the opportunity to attain retirement eligibility, will require the approval of HQDA, OCAR.

*b. Retention on active duty.* A soldier in an AGR status is serving on active duty and retention for retirement eligibility based on active service (AS) is codified in law ( 10 USC 1163(d) ). A bar may be initiated against an AGR soldier who has completed at least 18, but less than 20, years of AS. Approval authorities for such bars are specified in paragraphs 1-31.1e(2) and (3).

(1) A soldier who has been extended to attain retirement eligibility under the sanctuary provision remains subject to involuntary separation for cause per AR 635-200.

(2) A soldier will not be extended for continued service on active duty in an AGR status beyond the last day of the month in which he or she becomes eligible for retired pay.

1-30. Conditions warranting a bar to reenlistment

A soldier's unfitness or unsuitability may show up soon after entry into the military service; however, traits that make a soldier unsuitable or unfit may not develop or become apparent until after many years of service. Commanders must consider whether it is advisable to afford continued military service to unsuitable or unfit individuals. Such personnel should be identified as soon as possible with a view toward elimination from the service. When discharge is not warranted, action should be taken to bar the soldier from further USAR service. Bars should be considered for soldiers in the following categories:

*a. Untrainable soldiers.* These soldiers will be identified as soon as possible with a view toward eliminating them from the service. When discharge under administrative procedures (AR 635-200 for AGR soldiers and [AR 135-178](#) for all others) is not warranted, action will be taken under this regulation to bar the person from further service with the U.S. Army Reserve. These soldiers are often identified by failure to perform the basic tasks required of their PMOS, failure to qualify in a DMOS in a reasonable period of time, failure to achieve individual weapons qualification, failure of the Army's Physical Fitness Test, evaluation results by the Army Education Activity, or eliminated for cause from an NCOES course. Frequently, soldiers will meet the minimum standards for their present grade but obviously lack the potential to become the supervisor or senior technician of the future.

(1) A bar to reenlistment may be imposed for failure to pass the Army Physical Fitness Test (APFT). However, imposition of a bar to reenlistment is mandatory after second consecutive failure if separation processing is not initiated per AR 135-178, [chapter 6](#).

(2) A bar to reenlistment may be imposed on a soldier participating in the Weight Control Program (WCP) to meet the body fat standards per [AR 600-9](#). However, imposition of a bar to reenlistment is mandatory for soldiers who do not make satisfactory progress in the WCP after a period of 6 months, unless the commander initiates reassignment procedures per AR 140-10, [paragraph 4-16](#), or separation proceedings per AR 135-178, [chapter 14](#). (NOTE: Reassignment or separation proceedings will not be initiated if a soldier is within 3 months of expiration of term of service (ETS) date.)

(3) ***(Rescinded.)***

*b. Unsuitable soldiers.* These are persons who may exhibit their unsuitability through interests or habits detrimental to the maintenance of good order and discipline. They may have records of habitual minor misconduct requiring corrective or disciplinary action.

*b.1. Single soldiers/in-service couples with dependent family members.* If administrative separation proceedings are not initiated (AR 135-178, [para 4-10](#), or [AR 635-200](#), para 5-8) commanders will initiate bar to reenlistment proceedings against soldiers described below who have been counseled and who do not have on file within 2 months of counseling, an approved family care plan as described in AR 600-20, [chapter 5](#). Soldiers described below who have OCONUS assignment instructions will have a bar to reenlistment initiated if they are unable to provide name of guardians who will care for their family members in CONUS in the event of evacuation from overseas. The balance of the family care plan is completed after arrival in the OCONUS command.

(1) A soldier who is single, widowed, divorced, legally separated, or residing without his or her spouse. Also a soldier with a spouse who is incapable of self care, or who has custody of one or more minors or adult family members unable to care for themselves (e.g. handicapped or infirm).

(2) A soldier who has a military spouse and they have minor family members, or adult family members, unable to care for themselves.

(3) A soldier who fails to respond to duty requirements because of parenthood or custody of dependents (minor or adult).

c. Soldiers against whom bar to reenlistment proceedings may be initiated. If administrative separation proceedings are not initiated, soldiers may be barred from reenlistment for one or a combination of the below listed infractions or reasons. This listing provides examples of rationale for imposition of a bar and is not intended to be all-inclusive. Examples are —

- (1) Late for formations, details, or assigned duties.
- (2) Absent without leave (AWOL) for 1- to 24-hour periods.
- (3) Losses of clothing and equipment.
- (4) Substandard personal appearance.
- (5) Substandard personal hygiene.
- (6) Excessive unexcused absence from scheduled training assemblies.
- (7) Cannot follow orders, takes too much time, shirks, and resists authority.
- (8) Cannot train for a job; apathetic; disinterested.
- (9) Cannot adapt to military life; uncooperative; involved in frequent difficulties with fellow soldiers.
- (10) Causes trouble in the civilian community.
- (11) Involved in immoral acts.
- (12) Adverse financial transactions or recurring debts.
- (13) Recurrent Article 15 punishments under the provisions of the Uniform Code of Military Justice ( [UCMJ](#) ).
- (14) Frequent traffic violations.
- (15) Failure to manage personal, marital, or family affairs.
- (16) Personal behavior brings discredit upon his or her unit or the Army.
- (17) Failure to achieve individual weapons qualification as required.
- (18) Failure to pass the APFT (see [para a\(1\)](#) above).
- (19) Failure to meet the body fat standards per [AR 600-9](#) (see [para a\(2\)](#) above).
- (20) Slow grade progression resulting from a pattern of marginal conduct or performance.
- (21) No demonstrated potential for future service based on repeated corrective counseling statements and other indicators.

#### **1-31.1. Procedures**

a. Any commander in a soldier's chain of command may initiate a bar to reenlistment. Normally this action will be initiated by the company, battery, troop or detachment commander to which the soldier is assigned or, in the case of a soldier serving on Active Guard Reserve (AGR) status, attached. A senior commander in the chain of command who believes that bar action is warranted will personally initiate the bar.



(1) Any commissioned officer in a soldier's chain of command on a headquarters staff, agency, or activity, may initiate a bar to reenlistment on soldiers for whom they have supervisory responsibility.

(2) The chief of the appropriate enlisted management division under the Enlisted Personnel Management Directorate, ARPERCEN, may initiate a bar to reenlistment on soldiers assigned to the Individual Ready Reserve (IRR) or Standby Reserve. This is provided the chief of the division is a commissioned officer; otherwise the initiating officer must be the first commissioned officer in the chain of command above the division chief.

b. The officer will personally initiate the bar signed in quadruplicate using [DA Form 8028-R](#) (U.S. Army Reserve Bar to Reenlistment Certificate). The data requested on DA Form 8028-R, Section I (Commander's Recommendation) will be entered as appropriate, and the initiating officer will summarize the basis for his or her intent to initiate bar to reenlistment procedures. This must include all other factual and relevant data supporting the initiating officer's recommendation.

(1) Total AS will be computed as of the date of expiration of term of service (ETS), or date of release from active duty (REFRAD), as appropriate, and not the date the bar certificate is prepared. Total military service will be computed as of the date of ETS and not the date the bar certificate is prepared.

(2) The initiating officer will refer the certificate to the concerned soldier for a statement on his or her own behalf, if desired, per [AR 600-37](#). If the soldier is serving on AGR status, he or she will be given 7 days to respond. All other soldiers will be given 30 days to respond. This will allow the soldier time to prepare his or her comments and for the collection of any documents or materials pertinent to the case. An extension of the 7-day or 30-day period may be granted by the initiating officer on an individual case-by-case basis.

(a) When a soldier, who is not serving on AGR status, cannot be located or contacted, the certificate will be mailed to the soldier's last recorded address. This is to permit the soldier the opportunity to respond within the 30-day period. The receipt of certified mail, or any supporting evidence of attempts to effect delivery, will be attached to the DA Form 8028-R. When sent to the approving authority, this will provide evidence of attempts to permit the soldier's rebuttal of the intended bar.

(b) The soldier's failure to respond within the 30-day period will be recorded. The fact that he or she did not respond, together with any other available evidence, will be attached to the recommended bar when it is sent to the approving authority.

(c) Mail that has been refused, unclaimed, or not delivered will not be used as a defense against imposition of a bar if the certificate contained the latest official mailing address supplied by the soldier.

(3) DA Form 8028-R, Section I, will be from the initiating officer, through the soldier concerned ( [2](#) above), to the next commander or staff officer in the normal chain of command or supervisory chain. A copy of the soldier's DA Form 2 (Personnel Qualification Record-Part I) and DA Form 2-1 (Personnel Qualification Record-Part II) will be enclosed with the certificate.

c. Upon receipt of the soldier's comments (DA Form 8028-R, Section II, Soldier's Review) the certificate will be endorsed personally by each commander, acting commander, or staff officer, as appropriate, in the chain of command. After proper endorsements recommending approval of a bar have been completed ( [DA Form 8028-R](#), Section III, Endorsing Official's Review), the certificate, with a copy of the soldier's [DA Form 2-1](#) enclosed, will be sent to the appropriate approval authority identified in e below.

(1) An endorsing officer in the chain of command, who does not believe the bar action is warranted, will disapprove the action and return it to the initiating officer. An endorsing officer may also recommend a change in the severity of the bar (bar from AGR service versus bar from USAR service). The bar to reenlistment will not be forwarded to a higher authority for consideration without a recommendation for approval.

(2) Any commander may elevate the authority to approve or disapprove a bar to reenlistment to his or her own, or any appropriate subordinate commander.

(3) The official who initiates the bar certificate may not take final action on the bar. If the initiating authority would normally be the approving authority, the certificate will be forwarded to the next higher approval authority for final action.

d. A soldier may not be retained involuntarily past his or her normal ETS or REFRAD date while awaiting approval of a bar to reenlistment. A bar to reenlistment may not be approved or filed under the following conditions:

(1) A bar to reenlistment for continuing service in an AGR status may neither be approved nor entered in the soldier's records after the soldier has been released from active duty even if the soldier remains in the USAR under another status.

(2) A bar to reenlistment for continuing service in the USAR may neither be approved nor entered in the soldier's records after the soldier has been discharged. However, a bar to continuing service in the USAR, initiated on an AGR soldier having a remaining statutory or contractual USAR obligation on REFRAD, may be approved and filed after the soldier has been REFRAD.

e. Authority to approve a bar to reenlistment rests with the following:

(1) For soldiers with less than 10 years of qualifying service for retired pay (or AS) for AGR soldiers the bar will be personally approved by the first commander in the rank of lieutenant colonel (LTC) or above in the soldier's chain of command, or the commander exercising Special Court-Martial Convening Authority (SPCMCA), whichever is in the most direct line to the soldier (unless this is the same commander who initiated the action). Personal signature of the approving or disapproving authority is required.

(2) For soldiers with 10 or more years of qualifying service for retired pay (or AS for AGR soldiers), and who are not on indefinite reenlistment status, the approval authority is the first general officer in the soldier's chain of command or the commander exercising General Court-Martial Convening Authority (GCMCA), whichever is in the most direct line to the soldier. The personal signature of the approving or disapproving authority is required.

(3) Approval of a bar on soldiers having 18, but less than 20, years of qualifying service for retired pay (or AS for AGR soldiers) does not serve to deny the soldier of attaining retirement eligibility ( [10 USC 1176](#) ). Commanders do not have the authority to deny such soldiers from extending under the provisions of this regulation to attain retirement eligibility. Denial of voluntary retirement requires initiation of separation action in accordance with [AR 135-178](#) or [AR 635-200](#) as appropriate, based on a soldier's status.

(4) Final approval authority for any bar to reenlistment must be at least one approval level higher than the initiating authority. A bar initiated by any commander above the company, battery, or troop level must be approved by the first general officer in the chain of command, the GCMCA, or Commander, Human Resources Command-St. Louis (Cdr, HRC-STL), as appropriate.

f. When a bar to reenlistment certificate has been approved by the proper authority, the custodian of the soldier's personnel records will place a signed copy in the soldier's DA Form 201 (Military Personnel Records Jacket — U.S. Army) where it will remain a permanent part of the file. The remark "Not recommended for further USAR service" or "Not recommended for further AGR service", as appropriate, will be entered on the soldier's [DA Form 2-1](#) according to AR 640-2-1. The [DA Form 1315](#) or [DA Form 4644-R](#) and the DA Form 2 will have the proper in-service ineligibility code entered as shown in AR 680-29, [chapter 1](#) . If the soldier is serving on AGR status, a copy of the approved bar certificate must be sent, without delay , to the Office, Chief Army Reserve, Full-Time Management Support Center, ATTN: DARP-ARE, 9700 Page Boulevard, St. Louis, MO 63132-5200.

g. A soldier may be voluntarily REFRAD or discharged based on an approved bar to reenlistment under the following conditions:

(1) A soldier who believes he or she will be unable to overcome a bar to reenlistment for continuing service in the USAR may apply for voluntary separation. If the soldier is serving on AGR status, the request will be processed according to [AR 635-200](#) , paragraph 16-5. All other USAR soldiers will be processed according to AR 135-178, [paragraph 3-5](#) .

(2) A soldier who believes he or she will be unable to overcome a bar to reenlistment for continuing service on AGR status, but who will have a remaining statutory or contractual USAR obligation on REFRAD, may apply for immediate voluntary REFRAD. The request will be processed according to AR 635-200, paragraph 5-16.

*h.* If all appropriate officials concur, a soldier who will have less than 6 months to ETS or REFRAD from the date the bar is approved, may be extended for rehabilitative purposes up to, but not beyond, 6 months from the bar approval date (see table 3-1, [rule Y](#)). If the soldier does not meet reenlistment criteria, required waivers must be approved before the extension is accomplished. As an exception to this regulation, the final approval authority for these extensions is the bar to reenlistment approval authority. The reason cited will be "In the best interest of the service". This extension action may be taken when the bar is initiated, but not later than 30 days prior to ETS or REFRAD.

### **1-31.2. Appeals**

A soldier desiring to submit an appeal who is otherwise qualified for reenlistment, including approved waivers, will not be involuntarily discharged while an appeal is pending. However, an AGR soldier barred from continuing service in the USAR, who will have a remaining statutory or contractual USAR obligation on REFRAD, may be REFRAD while an appeal is pending.

*a.* Should a soldier desire to submit an appeal, but refuse retention to allow processing of the appeal, he or she will be informed that the bar will remain in effect.

*b.* From the time he or she is informed that a bar to reenlistment was approved, a soldier serving on AGR status will be allowed 7 days to submit an appeal. All other USAR soldiers will be allowed 30 days to submit an appeal. On a case-by-case basis, an extension of the 7-day, or 30-day periods, may be granted by the official initiating the bar procedure.

*c.* Appeals will be endorsed personally by each commander or acting commander in the chain of command and approved or disapproved by the proper authorities shown in (1) and (2) below. Final approval of appeals will be at least one approval level higher.

(1) For soldiers with less than 10 years of qualifying service for retired pay, or AS, at ETS, the approval or disapproval authority is the first general officer in the soldier's normal chain of command, or the commander exercising GCMCA, whichever is in the most direct line to the soldier. The personal signature of the approving or disapproving authority is required.

(2) For soldiers with more than 10 years of qualifying service for retired pay, (or AS for AGR soldiers) at ETS, the approval/disapproval authority is Cdr, HRC-STL. Unless specifically directed by the proper commander, appeals will not be sent through major or area commanders, en route to HRC STL.

(3) Bars to reenlistment approved by OCAR under this regulation ( [para 1-31.1e\(3\)](#) ) may not be appealed.

### **1-34. Review and disposition of imposed bars to reenlistment**

*a.* After placing an approved bar to reenlistment in a soldier's MPRJ, the company, detachment, or comparable commander of the unit to which the soldier is assigned, or attached for duty and administration, will continue documented evaluation of the soldier. Approved bars to reenlistment will be reviewed by the proper unit commander at least each 6 months after the date of approval, and 30 days before the soldier's scheduled departure from the unit, REFRAD, or discharge from the USAR. Periodic reviews of bars imposed on soldiers assigned to the IRR or Standby Reserve are not required, however, the appropriate division chief in the Enlisted Personnel Management Directorate, ARPERCEN, may review such bars on a case-by-case basis.

(1) If, upon review, the commander feels the bar to reenlistment should remain in effect, he or she will notify the custodian of the soldier's personnel records who will enter the following remark on the soldier's

[DA Form 2-1](#): "Bar to reenlistment reviewed; not recommended for removal (date)." The commander will make the same remark on the [DA Form 1315](#), or [DA Form 4644-R](#), as appropriate. When removal of a bar is not recommended, the soldier will be considered for REFRAD, discharge, or reassignment to the IRR, as appropriate, under pertinent administrative procedures.

(2) A recommendation to remove a bar to reenlistment may be submitted at any time by the soldier's unit commander if he or she feels the soldier has proven worthy of retention in the USAR or on AGR status.

(a) Recommendations for removal of a bar to reenlistment will be endorsed personally by each commander (or acting commander) in the soldier's attached or assigned chain of command. Any commander in the soldier's chain of command who does not feel the bar should be removed will disapprove the request and return it to the initiating unit without further action.

(b) Approval to withdraw the certificate will be the same authority who would approve a bar for a soldier with the same years of service or, if the soldier has moved to another jurisdiction, the comparable commander in that jurisdiction. However, in no case will the authority to approve the withdrawal of a bar be a lower command level than the commander who approved the bar initially.

(c) When removal of a bar to reenlistment is approved by the appropriate commander, the approved recommendation withdrawing the bar to reenlistment will be maintained in the appropriate unit file. The remark "Not recommended for further service" on the DA Form 2-1 will be deleted per AR 640-2-1. When DA Form 2-1 is remade, deleted information will not be reentered on the new form.

b. Upon completion of the reviews prescribed above, the unit commander will inform the soldier that the bar to reenlistment was reviewed, and what action was taken.

c. Any time a bar to reenlistment is reviewed and not recommended for removal, the soldier will be reevaluated for possible REFRAD, discharge, or reassignment to the IRR, as appropriate, under pertinent administrative procedures. Upon completion of the first six month review, the unit commander will use a counseling statement ( [DA Form 4856](#), General Counseling Form) to inform the soldier that the bar has been reviewed and will remain in effect unless recommended for removal. The soldier will also be informed that upon completion of the second six month review, proceedings will be initiated leading to REFRAD, discharge, or reassignment to the IRR, as appropriate, unless the soldier has demonstrated that the bar should be removed. The counseling should comply with the requirements of AR 135-178, [paragraph 1-12](#), or [AR 635-200](#), paragraph 1-18, as appropriate. In the event no progress has been made, the commander will consider REFRAD, discharge, or reassignment to the IRR, under the pertinent administrative procedures outlined in [AR 135-178](#), [AR 140-10](#), or [AR 635-200](#), as applicable, without waiting for the next review to occur.

## **Section V**

### **Bar to Reenlistment/Immediate Reenlistment or Extension**

#### **7-20. General**

This section prescribed policies and procedures to deny reenlistment/immediate reenlistment extensions, and the future entrance into the ARNGUS of substandard soldiers whose immediate discharge under administrative procedures is not warranted. However, service beyond ETS without appropriate improvement, is not in the best interest of the ARNGUS. Policies and procedures prescribed herein apply to the commander's bar to reenlistment, immediate reenlistment, or extension. Soldiers may not be reenlisted, immediately reenlisted or extended without the recommendation of the unit commander. If a soldier is not recommended for continued service, a BAR will be initiated under the provisions of this chapter unless the soldier possesses a disqualification that can be waived. If otherwise qualified, may not be arbitrarily denied reenlistment, immediate reenlistment or extension.

#### **7-21. Standards and guidelines for BAR to reenlistment, immediate reenlistment or extension**

a. Standards. Only soldiers of high moral character, personal competence, and demonstrated adaptability to the requirements of the professional soldier's moral code may be reenlisted, immediately reenlisted or extended. Soldiers who cannot or will not measure up to such standards, but whose discharge under proper administrative procedures is not now warranted, will have a BAR from further service under the provisions of this chapter. Even though a BAR has been initiated, a soldier can still be administratively discharged if it is The BAR is a non-punitive probationary device intended to serve notice that a soldier is not a candidate for reenlistment, immediate reenlistment or extension and may be discharged if the circumstances that led to the bar are not overcome.

b. Guidelines for use of a BAR.

(1) BAR procedures will not be used instead of discharge actions under this regulation.

(2) A BAR will not be initiated solely because a soldier refuses to reenlist, immediately reenlist or extend.

(3) A BAR will not be used instead of trial by courts-martial, nonjudicial punishment, or other administrative action.

(4) Disciplinary and administrative actions that do not result in discharge do not prevent initiation or continuation of a BAR.

(5) The fact that a soldier may be issued an honorable or general discharge for the current period of service does not prevent initiation of a BAR to deny the soldier later service in the ARNGUS.

(6) Honorable service for a number of years is considered in the evaluation of the soldier's service. However, it does not prohibit the initiation of a BAR if appropriate.

#### **7-22. Criteria**

A soldier's unfitness or unsuitability may show up soon after entry into the service, or only become apparent after many years of service. A soldier performing in a substandard manner may have been permitted to remain in the ARNGUS for a number of years. This should not stop a current commander from taking action under the provisions of this chapter. Commanders must evaluate the advisability and desirability of affording continued military service to soldiers of the following, or similar categories:

a. Untrainable soldiers. These soldiers will be identified as soon as possible with a view toward eliminating them from service. When discharge under administrative procedures is not warranted, action will be taken under this chapter to bar the soldier from further service with the ARNGUS. These soldiers are often identified by failure to achieve individual weapons qualifications; failure of the APFT; obtaining low evaluation results from Army education activities; failure to submit an approved family care plan; and failure to make satisfactory progress on Army Weight Control Program.

b. Unsuitable soldiers. These soldiers will be identified early in their military service with a view toward elimination from the service. When administrative discharge is not warranted, action will be taken under this chapter to bar the soldier from further service with the ARNGUS.

c. Soldiers against whom BARS are initiated often have written documents that disclose the recurrence of one or a combination of the following:

(1) Late for formations, details, or assigned duties.

(2) Unexcused absences and unsatisfactory participation.

(3) Loss of clothing and equipment.

(4) Substandard personal appearance.

(5) Substandard personal hygiene.

- (6) Recurrent nonjudicial punishment.
- (7) Recurrent sickness on drill days without medical justification.
- (8) Cannot follow orders; shirks; takes too much time; is recalcitrant.
- (9) Cannot or will not train for a job; apathetic; disinterested; avoids training.
- (10) Cannot adapt to military life; uncooperative; involved in frequent difficulties with fellow soldiers.
- (11) Failure to manage personal, marital, or family affairs. This includes failure to respond to duty requirements because of parenthood or custody of dependents (minor or adult) (AR 600-20, Chapter 5, Paragraph 5-5).
- (12) Causes trouble in civilian community.
- (13) Involved in immoral activities.
- (14) Personal behavior that brings discredit upon his/her unit and the ARNGUS.
- (15) Failure to achieve individual weapons qualification.
- (16) Effective 1 Oct 87; failure to pass the Army Physical Fitness Test. BAR to reenlistment is mandatory after second consecutive failure if separation processing is not initiated per Paragraph 8-26o and AR 135-178, Chapter 6.
- (17) Participation in the Army Weight Program (WCP) in order to meet body fat requirements of AR 600-9. A BAR to reenlistment is mandatory for soldiers who do not make satisfactory progress in the WCP after a period of 6 months, unless the responsible commander initiates separation processing per Paragraph 8-26m and Chapter 14, AR 135-178.
- (18) Removal for cause from NCOES courses. BAR to reenlistment is mandatory if separation processing is not initiated per Paragraph 8-26o and AR 135-78, Chapter 6.

### **7-23. Procedures**

a. Any commander in a soldier's chain of command may prepare NGB Form 602-R (BAR to Reenlistment/Immediate Reenlistment or Extension Certificate), summarizing the basis for the action.

(1) A BAR normally should NOT be initiated against a soldier assigned to a unit for less than 90 days. When a BAR is initiated during this period, the commander's certificate will contain an explanation of the timing of the action.

(2) A BAR must be based on specific dates, places, times which can all be substantiated with back-up documents. It should be substantiated by official remarks made at the time of each occurrence. All instances should be made a

matter of record when a soldier performs unworthy acts.

(3) Normally, a BAR will NOT be initiated against a soldier during the last 90 days prior to ETS. However, some soldiers pending involuntary administrative separation may reach their ETS prior to the completion of separation action. Because they normally cannot be held past their ETS, it is in the State's best interest to process a BAR even though they are within 90 days prior to ETS.

(4) A BAR is initiated without regard to a soldier's ETS date (unless at ETS soldier will have at least 18 but less than 20 qualifying years; see Paragraph 7-23c(3) below).

(5) BARS should not be processed for soldiers pending involuntary administrative separation for which RE code 3 or 4 would be issued (see Paragraph 7-21b(3)).

b. NGB Form 602-R BAR will be prepared in original and two copies. Additional copies may be prepared when required by the State AG.

(1) Total service will be computed as of the ETS, not the date the BAR was prepared.

(2) The commander will refer the BAR certificate to the soldier concerned for a statement on his or her behalf, if the soldier so desires. The soldier will be allowed a period of 30 days for the preparation of a statement and collection of any documents and/or pertinent materials. An extension to this period may be granted by the soldier's unit commander.

c. Upon receipt of the comment of the soldier, or the soldier's refusal to comment, the certificate will be endorsed personally by each commander in the chain of command, and approved or disapproved by the appropriate authorities as shown in (1), (2) or (3) below.

(1) For soldiers with less than 10 years of qualifying service for retired pay at ETS, approval/disapproval authority is the first commander, LTC or above, in the soldier's normal chain of command. No delegation of authority is authorized.

(2) Soldiers with at least 10 but less than 18 years of qualifying service for retired pay at ETS, those with more than 20 years of service at ETS, and those when action is taken to extend the soldier to complete 20 years of service, the approval/disapproval authority is the first commander, COL or above, in the soldier's normal by chain of command. No delegation of authority is authorized.

(3) Soldiers, who upon ETS, will have at least 18 but less than 20 years of qualifying service, will be allowed to extend to the point where they

attain 20 years and then be barred to reenlistment. These soldiers may be processed for separation before attaining 20 years: the intent is that soldiers will not be involuntarily separated with between 18 and 20 years of service without board action.

d. When the BAR has been approved, the soldier's unit commander will use a counseling statement to inform the soldier of the right to appeal within 15 days. The appeal will be forwarded through command channels, endorsed personally by each commander, and approved or disapproved within 30 days by the authorities shown below.

(1) Soldiers with less than 10 years of qualifying service for retired pay at ETS, the appeal approval/disapproval authority is the first commander, COL or above, in the soldier's normal chain of command.

(2) Soldiers with 10 or more years of qualifying service and those with more than 20 years for retired pay at ETS, the approval/disapproval authority is the State AG. Those with 18 or 19 years service will be extended to 20 years. (Appeal: None)

e. When NGB Form 602-R BAR has been approved by the appropriate authority, the custodian of the soldier's personnel records will:

(1) Place original in the soldier's MPRJ as a permanent document.

(2) Enter the remark "Not recommended for further service" in item 4 of the soldier's DA Form 2-1 (Personnel Qualification Record (Part II)).

(3) Give the soldier a copy.

f. An entry "Not recommended for further service" will be made on DA Form 1315 (Retention Data Card) or a localized approved substitute.

g. An approved BAR will be reviewed by the appropriate unit commander every 6 months (for M-Day soldiers) or 3 months (for AGR soldiers) after the date of approval, and 30 days before the soldier's scheduled departure from the unit or discharge from the service.

h. If, upon review, the commander feels the BAR should remain in effect, the custodian of the soldier's personnel record will be notified and will enter on the soldier's DA Form 2-1, "Bar to reenlistment, immediate reenlistment or extension reviewed; not recommended for removal (date)." The unit commander will make the same remark on DA Form 1315 and will notify the soldier by providing a reproduced copy of NGB Form 602-R.

i. A recommendation to remove a BAR may

be submitted at any time by the soldier's unit commander, if the soldier has proven worthy of retention in the ARNGUS.

(1) Recommendations to remove a BAR will be submitted in writing through the chain of command and will be endorsed personally by each commander.

(2) Approval to remove a BAR may be granted by the same authority that approved the BAR originally or, if the soldier has moved to another jurisdiction, by a comparable commander in that jurisdiction.

(3) The approved recommendation removing the BAR will be maintained in the appropriate unit file. NGB Form 602-R BAR will be removed and destroyed. The remark "Not recommended for further service" and any entry pertaining to "Bar to immediate reenlistment review; not recommended for removal (date)" will be deleted from DA Form 2-1, in accordance with AR 600-8-104 and NGR (AR) 600-8-104. The same remarks on the DA Form 1315 will be erased. The soldier concerned will be given a copy of the approved recommendation removing the BAR.

j. If at the time of the second 6 month (for M-Day) or 3 month (for AGR) review of a locally imposed BAR to reenlistment, the commander does not recommend that the BAR be removed, the commander will process the soldier for separation per chapter 8 of this regulation and the appropriate chapter(s) of AR 135-178. Processed for separation means that separation action will be initiated and processed through the chain of command to the separation authority for appropriate action. Compliance with AR 135-178, Paragraph 1-12 is mandatory. The unit and intermediate commanders will recommend separation or retention and the characterization of service to be awarded. See 7-23 (k) for special provisions for soldiers barred for APFT failure.

k. Processing for separation will be initiated after the first review for soldiers who receive a locally imposed BAR to reenlistment after the second failure of the APFT. Soldiers who receive a locally imposed BAR after the first APFT failure will be processed for separation after the second review.

#### 7-24. Discharge

NGB Form 22 (Report of Separation and Record of Service) of otherwise qualified soldiers, who are discharged with a BAR in effect, will be annotated "Bar to Reenlistment or Extension (dated) in effect on the date of

## Extract NGR 600-200

discharge" in the remarks section, block 18.  
Block 26, Reenlistment Eligibility, will be coded  
RE3.



## **CHAPTER 1**

### **Introduction**

#### **1-1. Purpose**

The purpose of this regulation is to provide comprehensive guidance to the Army National Guard on the recruiting and retention policies, procedures, programs and activities needed for the successful development and implementation of the Strength Maintenance (SM) Program at the State/Territory level.

#### **1-2. References**

Required and related publications are listed in Appendix A.

#### **1-3. Explanation of abbreviations and Terms**

Abbreviations and special terms used in this regulation are explained in the glossary. In addition, the use of the term 'State' throughout this regulation will apply to all 54 States and Territories.

#### **1-4. Policy**

The Department of the Army, National Guard Bureau (NGB), establishes the policies stated in this regulation. The Adjutants General of each State will develop and implement a SM program in their States in accordance with this regulation to achieve their assigned end strength mission. (See Paragraph 2-2 and 2-3 for CNGB and State A responsibilities).

#### **1-5. Strength Maintenance Philosophy**

- a. The SM philosophy is one of total sales and service, committed to improving personnel readiness. This philosophy consists of three major tenets:
  - (1) Recruiting. Recruiting quality non-prior service and prior service soldiers.
  - (2) Attrition Management. Reducing losses while still under contractual military service obligation.
  - (3) Retention. Retaining soldiers who reach their Expiration Term of Service (ETS).
- b. This "Oath to Reenlistment" philosophy focuses on building teamwork and establishing a partnership between the Recruiting and Retention Force (RRF) and the unit chain of command by balancing recruiting, attrition management and retention activities with the needs of the unit.
- c. When implemented effectively, the SM philosophy increases personnel readiness by focusing recruiting efforts on filling unit vacancies and focusing attrition management/retention efforts on reducing turnover and maintaining more qualified soldiers in

the unit and the ARNG.

## **CHAPTER 2**

### **Responsibilities**

#### **Section I**

##### **General**

#### **2-1. Purpose**

This chapter prescribes the responsibilities of the Chief, National Guard Bureau (CNGB), The State Adjutant General (AG), unit personnel and the full-time RRF within the SM Program.

- a. SM is a command responsibility with technical guidance and support provided by the RRF.
- b. Each command is responsible to work in partnership with the RRF to achieve their assigned SM goals and objectives.
- c. From the AG to the First Line Leader (FLL), all leaders play a critical role in SM.
- d. The following positions and corresponding responsibilities are essential to ensure the successful implementation of a State SM program.

#### **Section II**

##### **Chief, National Guard Bureau**

#### **2-2. General**

To help States meet their assigned end strength mission and readiness requirements, the Chief, National Guard Bureau (CNGB) missions each State and provides them with:

- a. Monetary resources and personnel authorizations.
- b. SM policies, guidance, programs and initiatives.
- c. National advertising publicity items, awareness and support.
- d. SM Military Occupational Specialty (MOS) training, functional training and sustainment training.
- e. Initial Entry Training (IET) opportunities for newly accessed ARNG non-prior service (NPS) soldiers.

#### **Section III**

##### **The State Adjutant General**

#### **2-3. General**

The State AG is the ultimate authority for the development and implementation of the State SM Program. The State AG will:

- a. Ensure the development and implementation of a comprehensive State SM Program.
- b. Establish fiscal year end strength missions for each organization within the State, based on the

State mission provided by CNGB.

c. Ensure all organizational elements effectively implement, support and maintain the SM Program.

d. Ensure all personnel assigned to or involved with SM receive the necessary and required training, development, support and supervision to effectively perform their duties.

e. Ensure unit leaders at all levels are held accountable to achieve their assigned SM goals and objectives.

#### **Section IV**

#### **Unit Personnel**

#### **2-4. Commanders**

Commanders are essential to ensuring SM objectives are developed and accomplished at the unit level. It is

imperative that they establish and maintain a partnership with the RRF to help them meet their assigned end strength missions.

Commanders at all levels will:

a. Develop and implement a comprehensive SM Plan to achieve established end strength goals.

b. Assist the RRF by providing personnel, equipment, facilities, and other necessary resources and support as required.

c. Appoint an additional duty Unit Attrition NCO to assist in SM-related matters.

d. Ensure all non-prior service enlistees are assigned a sponsor and participate in a Recruit Sustainment

Program prior to attending IET (see appendix I).

e. Implement a unit lead referral program to ensure leads (potential new enlistees) are provided to RRF personnel.

f. Ensure every qualified soldier is provided the opportunity for continued productive service in the ARNG or offered an alternative to separation or discharge.

g. Ensure every soldier is interviewed to determine career opportunities for which they may be qualified and eligible.

h. Ensure every soldier is provided the opportunity to compete for position vacancies to enhance personal and professional growth.

i. Ensure all soldiers are made aware of available ARNG incentives and benefits, are processed for those for which they are eligible, and that a tracking system is implemented to ensure their benefits are received.

j. Ensure all leaders are informed of current policies, procedures, responsibilities, and required actions for soldiers who do not attend training.

k. Ensure unsatisfactory participants who are qualified for continued service in the ARNG are provided every opportunity for rehabilitation (if necessary) and are encouraged to return to active participation.

l. Ensure soldiers who are unable to continue their active participation are afforded the opportunity to transfer to the Inactive National Guard (ING) IAW NGR 614-1.

m. Ensure soldiers who have been transferred to the ING are contacted regularly for the purpose of bringing them back to an active drilling status.

n. Ensure soldiers who are barred from reenlisting IAW NGR 600-200, or flagged IAW AR 600-8-2, are counseled on the criteria for removal of the bar or flag.

o. Appoint an ESGR/USERRA Officer or NCO.

Due to the required availability of personnel assigned to this duty, Commanders should make every effort to appoint Full Time Support (FTS) personnel.

#### **2-5. Command Sergeants Major (CSM)**

The Command Sergeant Major serves as the Senior Retention NCO in the organization. All CSMs must take personal responsibility to ensure that the attrition and retention objectives for their assigned command are achieved.

Each Command Sergeant Major will:

a. Emphasize SM responsibilities to Sergeants Major, First Sergeants, FLLs, and others in the NCO support

channel, providing guidance where necessary.

b. Ensure the Noncommissioned Officer Development Program (NCODP) includes SM training and emphasizes the role of FLLs.

c. Emphasize SM during all unit visits and inspections, placing special emphasis on attrition management and retention related activities.

d. Advise commanders and unit leaders on all actions and events that affect SM.

#### **2-6. First Sergeant (1SG)**

The First Sergeant is the focal point for all NCO actions in the unit. His/her involvement in SM is vital to unit strength. It is imperative that the 1SG establish and maintain a partnership with the RRF to help meet their assigned end strength mission. First Sergeants will:

a. Assist the Commander in developing, implementing and monitoring the unit SM Plan.

b. Implement and monitor the unit sponsorship program. See appendix I.

c. Ensure soldiers are counseled IAW regulatory and locally published guidance.

- d. Incorporate SM training into NCODP.
- e. Ensure Reenlistment/Extension Ceremonies are conducted for each soldier and appropriate incentive/recognition items are presented.
- f. Advise the commander on all actions and events that affect SM.

#### **2-7. Full-Time Support (FTS)**

FTS personnel are the driving force behind any successful unit. Due to the full-time nature of their positions and the amount of contact and influence they have with traditional soldiers, it is imperative that they work in partnership with the unit leadership and the RRF to ensure unit strength objectives are met.

FTS personnel will:

- a. Assist the Commander and the First Sergeant in developing, implementing and monitoring the unit SM Plan.
- b. Appoint sponsors to newly assigned soldiers as directed by the First Sergeant.
- c. Provide unit vacancy data and soldier information to the RRF as needed or required.
- d. Work with the unit leadership to ensure quality, relevant and meaningful training is conducted at each drill.
- e. Work with the unit leadership and the Unit Attrition NCO to ensure soldiers complete their enlistment obligation and extend, if eligible.
- f. Advise the unit leadership on strength related matters and provide recommendations to improve SM plan execution when necessary.
- g. Provide pre-IADT support to new enlistees.

#### **2-8. First Line Leaders (FLLs)**

FLLs are key individuals in the success of any organization. They are the most important and influential leaders concerning individual soldier actions and decisions. FLLs must work in partnership with the unit leadership and the RRF to help their unit meet its assigned end strength mission.

FLLs will:

- a. Assist the Commander, First Sergeant and FTS personnel implement and monitor the unit SM Plan.
- b. Know their soldiers, to include civilian occupations, ETS date, family status and any other important information affecting their career (military and civilian) and duty performance.
- c. Determine the needs, wants and desires of their soldiers and regularly inform the unit leadership to help maintain a positive unit climate.

- d. Create an effective career development environment for their soldiers by fulfilling their role as a leader, mentor, counselor, coach and trainer.
- e. Maintain regular contact with soldiers, including those personnel assigned to the ING.
- f. Accept personal responsibility and accountability for their soldiers.
- g. Be aware of possible soldier concerns due to excessive ARNG training requirements, personal difficulties or family problems; take proactive measures to prevent, reduce or eliminate any adverse impact.
- h. Hold subordinates accountable for their attendance at all scheduled training; this includes making personal contact with and counseling subordinates who are absent from training.
- i. Ensure newly assigned soldiers are assigned an appropriate sponsor, receive their initial counseling, and are integrated into the unit in an effective and timely manner.

#### **2-8. First Line Leaders (FLLs)**

FLLs are key individuals in the success of any organization. They are the most important and influential leaders concerning individual soldier actions and decisions. FLLs must work in partnership with the unit leadership and the RRF to help their unit meet its assigned end strength mission.

FLLs will:

- a. Assist the Commander, First Sergeant and FTS personnel implement and monitor the unit SM Plan.
- b. Know their soldiers, to include civilian occupations, ETS date, family status and any other important information affecting their career (military and civilian) and duty performance.
- c. Determine the needs, wants and desires of their soldiers and regularly inform the unit leadership to help maintain a positive unit climate.
- d. Create an effective career development environment for their soldiers by fulfilling their role as a leader, mentor, counselor, coach and trainer.
- e. Maintain regular contact with soldiers, including those personnel assigned to the ING.
- f. Accept personal responsibility and accountability for their soldiers.
- g. Be aware of possible soldier concerns due to excessive ARNG training requirements, personal difficulties or family problems; take proactive measures to prevent, reduce or eliminate any adverse impact.

- h. Hold subordinates accountable for their attendance at all scheduled training; this includes making personal contact with and counseling subordinates who are absent from training.
- i. Ensure newly assigned soldiers are assigned an appropriate sponsor, receive their initial counseling, and are integrated into the unit in an effective and timely manner.

#### **4-9. Performance Counseling**

Each soldier is entitled to regular and consistent performance counseling by the chain of command. At a minimum, RRF leaders should counsel their assigned soldiers on a monthly basis, providing essential feedback regarding the performance of their duties and the status of their assigned mission. Regular and consistent performance counseling will help RRF leaders identify soldier weaknesses before they become problematic.

#### **4-24. Rehabilitation**

RRMs will establish a probation policy on retraining and rehabilitating RRF personnel who do not meet established standards. At a minimum, these policies and procedures will address the use of performance counseling, sustainment training, counseling statements and remedial training.

a. Sustainment Training. Each State will establish a sustainment-training program that addresses basic R&R

skills, knowledge and attitudes. The development and use of a successful RRF sustainment-training program will help prevent poor performance and weaknesses from occurring.

b. Counseling Statements.

(1) A counseling statement or letter of reprimand is the next step when regular and consistent performance counseling and sustainment training efforts have failed to improve soldier performance. These statements must be specific in nature and include proposed corrective action (see Appendix D for an example).

(2) There is no set guideline on the number of counseling statements or letters of reprimand before recommending a soldier for involuntary release; however, a minimum of two such documents is required before any release action can be taken against a soldier due to job performance.

c. Remedial training.

(1) Remedial training is training that is implemented when performance counseling and sustainment training efforts have failed to improve soldier performance. Unlike sustainment training, which is general in

nature, remedial training is unique, targeted to an individual soldier and designed to focus on specific weaknesses and performance deficiencies.

(2) Before any involuntary release actions are taken against a RRF soldier due to job performance, remedial training efforts aimed at improving the soldier's performance will be conducted, documented and signed by the soldier.

#### **6-23. Career Development Counseling**

An effective Unit Retention Program begins with the implementation of a career development program for all soldiers. Though RRF personnel are not responsible for career development programs, they can be instrumental in helping provide the necessary training and assistance to those personnel who are (i.e. Unit leaders, FLLs, FTS and unit retention personnel).

a. Successful career development includes counseling between the soldier and the FLL to ensure the soldier is provided with a career plan that will lead him/her through their CMF to higher positions of responsibility. Unit personnel in leadership positions, as well as assigned unit retention, FTS and recruiting and retention personnel may also assist in developing a career development plan for each soldier.

b. Career development programs also include ensuring soldiers are prepared and equipped to compete for promotion. This includes reviewing the various areas of the promotion system (e.g. military education, civilian education, weapons qualification, awards, etc.) and working with the soldier to ensure that opportunities are provided or a plan is developed to maximize the soldier's points in each area.

#### **6-24. Extension Counseling**

RRF personnel must work with the FTS staff and the Unit Retention personnel to keep track of soldiers and ensure their regular required counseling sessions are conducted (i.e. 180, 120, 90, 60 and 30 days). RRF personnel should be involved in helping to determine a soldier's extension/reenlistment eligibility and the incentives for which he/she may be eligible.

## **Chapter 1**

### **Retention and Transition (RT) Program – Overview**

#### **Section I**

##### **General Overview**

#### **1-1. Introduction**

The objective of the RT Program is to maintain and improve the personnel readiness of USARC units through aggressive RT of qualified soldiers. Retention is the cornerstone of unit readiness. Everything we do, or neglect to do, contributes to a soldier's decision to remain or depart the Army Reserve.

#### **1-2. Purpose**

This regulation provides policy and guidance for conduct of the RT Program. This regulation describes performance objectives, provides guidance, standardizes functions, fixes responsibilities, describes reporting requirements, and outlines procedures for Major Subordinate Commands (MSC) to execute the RT Program. The MSCs consist of Regional Readiness Commands (RRC), Army Reserve Readiness Training Center (ARRTC), Training Support Division (TSD), Division Institutional Training (DIV IT), Readiness Command, Military Intelligence Augmentation Detachment (MIAD), National AMEDD Augmentation Detachment (NAAD), USA Element MSC Atlantic Command, Small Arms Training Team, and USARC installations.

#### **1-3. References**

Required/related publications and prescribed/related forms are listed in Appendix A.

#### **1-4. Explanation of Abbreviations and Terms**

Abbreviations and special terms used in this regulation are explained in the Glossary.

#### **1-5. Responsibilities**

The USARC Headquarters (HQs), MSCs and all subordinate units will perform responsibilities as directed throughout this regulation.

#### **1-6. Retention and Transition (RT) Mission**

The RT mission accomplishes the following:

- a. Enhances personnel readiness of units by retaining soldiers who are eligible to reenlist.
- b. Assists commanders and leaders in retaining soldiers, especially first term soldiers, by:
  - (1) Training leadership on current regulatory and policy guidance.
  - (2) Verifying commanders possess and understand the unit's RT mission.
  - (3) Conducting assessments to validate implementation and sustainment of the RT program.
  - (4) Notifying leadership with after action reports noting implementation and sustainment discrepancies.
  - (5) Correcting discrepancies through follow-up.
- c. Transitions Army Reserve soldiers from the Individual Ready Reserve (IRR) to a troop program unit (TPU).
- d. Transitions IRR Warrant Officers (WOs) and submits applications for Army Reserve WO positions.
- e. Submits applications for transition of soldiers into the Active Guard Reserve (AGR) Career Management Field (CMF) 79 Accession Program.

#### **1-7. Retention and Transition (RT) Objectives**

The RT objective is committed to improving and maintaining personnel readiness.

- a. The objectives consist of three major tenets:
  - (1) Career counseling of IRR and TPU soldiers.
  - (2) Retaining and transitioning quality soldiers.
  - (3) Reducing Non-Participants (NPs).
- b. The objectives are accomplished by maintaining contact with soldiers throughout their military career.

## Extract USARC Regulation 140-6

These objectives build teamwork that establishes a partnership with the chain of command. It also balances retention management with the needs of the unit, and maintains qualified soldiers in the unit by reducing turnover in that unit and throughout the Army Reserve.

### **Student Handout 3**

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This student handout (SH-3-2 thru SH-3-13) provides you a shell of the visual aids in this lesson along with a space for taking notes.

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## UNIT RETENTION PROGRAM



U656/OC T04VGT-1

### ARMY RETENTION PROGRAM GOALS

- Reenlist, on a long term basis, sufficient numbers of highly qualified Active Army soldiers.
- Enlist, or transfer and assign sufficient numbers of highly qualified soldiers who are separating from the active Army into RC units.
- Achieve and maintain Army force alignment through the retention, transfer, or enlistment of highly qualified soldiers in critical skills and locations.
- Support U.S. Military Academy Preparatory School and ROTC Green to Gold programs.

U656/OC T04VGT-2

### ARNG Retention Program Goals Through Strength Maintenance

- Recruiting. Recruiting quality non-prior service and prior service soldiers.
- Attrition Management. Reducing losses while still under contractual military service obligation.
- Retention. Retaining soldiers who reach their Expiration Term of Service (ETS).

U656/OC T04VGT-3

## USAR Retention Program Goals

- \* **Maintain and improve the personnel readiness of USARC units through retention of qualified soldiers**
- \* **Meet retention objectives**
- \* **Retain assigned soldiers**
- \* **Achieve readiness standards consistent with tiered resources.**

U656/OC T04VGT-4

## Unit Commander's Responsibilities

- ◆ **Execute duties and responsibilities as Retention Officers**
- ◆ **Develop, implement, and sustain the army retention program**
- ◆ **Monitor retention statistics**
- ◆ **Ensure that unit personnel properly conduct and document all reenlistment counseling**

U656/OC T04VGT-5

## Unit Commander's Responsibilities (cont)

- ◆ **Inspect the reenlistment data card file monthly**
- ◆ **Develop and implement an Army retention incentive program**
- ◆ **Encourage maximum attendance at reenlistment ceremonies by the soldier's co-workers and fellow unit members**
- ◆ **Provide Retention NCO time to perform duties and training**

U656/OC T04VGT-6

## Retention Interview/Counseling

### RA

- Screening & Familiarize (30 days)
- Job Performance (60-90 days)
- Career Guidance (15-16 mo to ETS)
- Reenlistment Benefits (13-14 mo to ETS)
- Reenlistment Follow up (4 mo to ETS)
- RC Benefits (90 days to ETS)

### ARNG

- Initial Counseling
  - Performance Counseling
  - Rehabilitative Counseling
  - Career Development Counseling
  - Extension Counseling
- ### USAR
- Orientation (initial assignment)
  - SSG & below (6-12 mo to ETS)
  - FSC & above (6 mo to ETS)

U656/OC T04VGT-7

## Standards for Reenlistment

- > High moral character
- > Personal/Professional competence
- > Demonstrated adaptability to the requirements of the professional soldier's moral code

U656/OC T04VGT-8

## Bar to Reenlistment Guidelines

- Not initiated when separation action pending
- Not initiated solely because soldier refuses to reenlist
- Not used instead of trial by court-martial, NJP, or other administrative action
- Previous administrative action does not preclude a bar
- Honorable or general discharge does not prevent bar initiation
- Honorable service does not prohibit bar initiation if appropriate
- Not initiated for soldiers with an approved retirement.

U656/OC T04VGT-9

## Criteria for Bar

- **Untrainable soldiers**
- **Unsuitable soldiers**
- **Single soldiers/Dual-service couples with dependents without a Family Care Plan**
- **Soldiers with one or a combination of infractions or reasons listed in Regulation**

U656/OC T04VGT-10

## Initiating a Bar

- **Identify soldiers meeting criteria**
- **Commander initiates a bar**
- **Commander refers bar certificate to soldier (gets copy)**
- **Allow soldier 7 days (RA & USAR AGR) or 30 days (ARNG), to prepare a comment on his behalf**
- **Each commander personally endorses certificate**
- **Proper Authority approves the bar**
- **Commander informs soldier of bar approval**

U656/OC T04VGT-11

## Initiating a Bar (cont)

- **Commander allows soldier 7 days (RA & USAR AGR)/15 days (ARNG)/30 days (USAR TPU) to submit appeal**
- **Each commander personally endorses the appeal**
- **Soldier may apply for voluntary separation**
- **Commander continues to document evaluation of the soldier**
- **Commander must review bar 3 months (6 for RC) after approval date**

U656/OC T04VGT-12

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